



USDS

USAID CAPITAL MARKETS DEVELOPMENT

THE PRAGMA CORPORATION

USAID Depository System User's Manual



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Chapter 1: Depository Introduction

This is the user manual for the USAID Depository System (USDS) software package. USDS is designed for the storage and record keeping of dematerialized securities. Clearing and settlement of trade results is another function of this system.

Both legal entities and individuals may be depository participants. Each of the participants should have an account at the depository. The accounts reflect the status of the securities within the depository. The depository participants may open several accounts with the depository. The depository staff will work with the accounts upon written requests from the participants. Brokers are one of the groups participating in the Depository. Brokers may be divided into two types – authorized and unauthorized ones. Authorized firms are allowed to keep an omnibus client account at the depository. In the case of authorized firms, the depository is not aware of individual owners of securities. Unlike the authorized firms, unauthorized ones maintain accounts with the depository for each of their clients.

This system has been designed for use by the staff of the depository only. During a normal business day, several functions are performed using the software. These functions assure normal processing of share movements between accounts, between the depository and the trading system and clearing and settlement functions.

Chapter 2: Depository Main Menu

This is the main menu used to operate the USDS system. It is several tabbed forms grouped together with each tab/form having functions of a distinct depository operation:

DEPOSITORY SYSTEM (ACCOUNT FUNCTIONS)

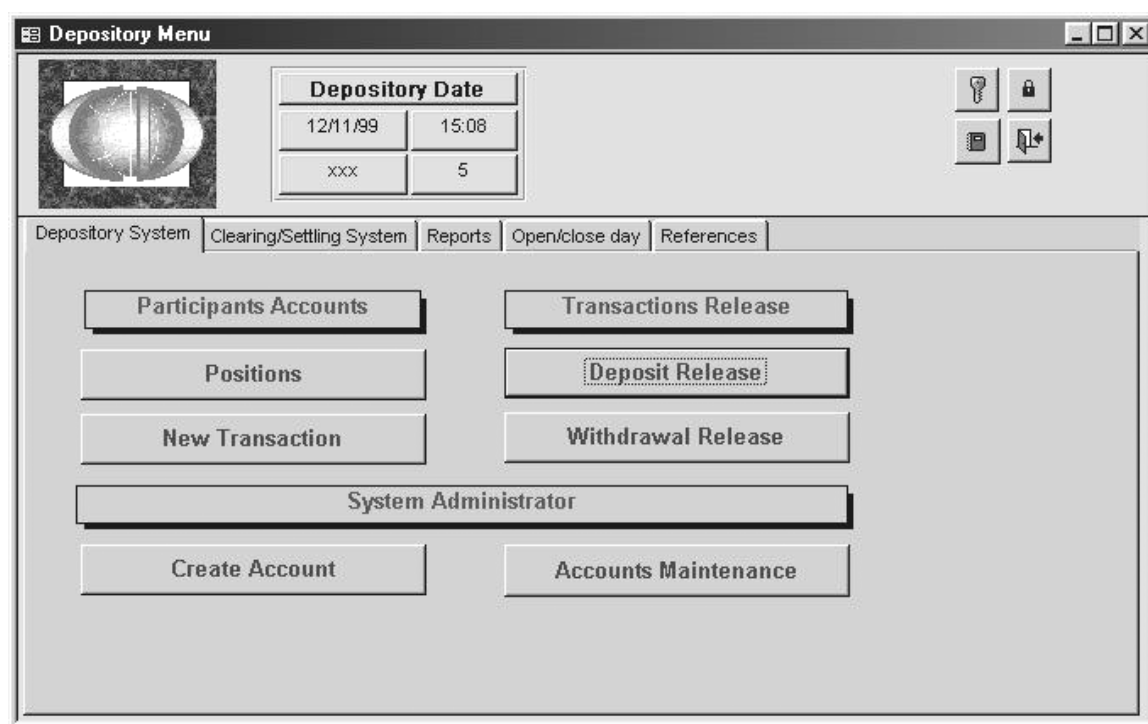
CLEARING/SETTLEMENT SYSTEM

REPORTS

OPEN/CLOSE DAY

REFERENCES

Click on the appropriate tab with the mouse to select each tabbed form



A discussion of each of these functions will follow.

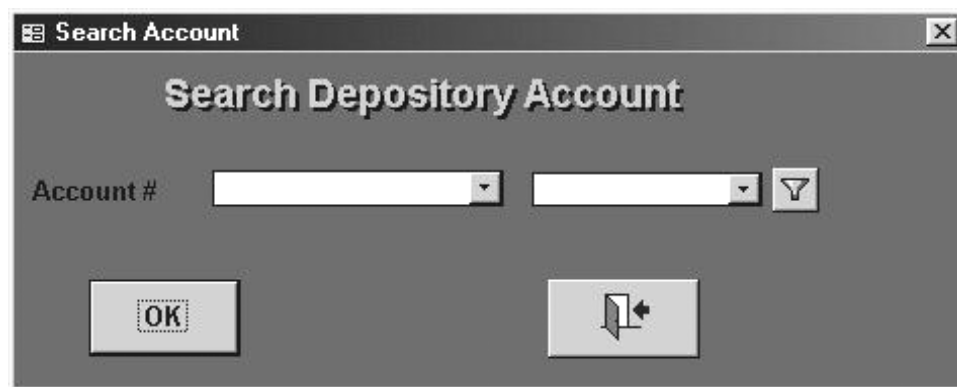
Chapter 3: Depository Account Functions

The previous main menu screen sample showed the depository account functions. They are:

- Positions
- New Transaction
- Create Account
- Deposit Release
- Withdrawal Release
- Account Maintenance

Account Look-Up Dialog Box

In working with depository accounts and transactions, the following standard dialog box is used to search for a particular account in the depository.



The left drop-down list box is used to select accounts by number, the second list box selects accounts by firm and the filter button can be used to show accounts just for the selected firms.

Depository Participant Positions

The first selection on the Depository Account Functions tab form is Positions. This is used to view the depository account positions for a selected participant. After using the previously described search dialog, this form is displayed.

Symbol	ISIN	Total shares	Available	At the Stock Exchange	Allowed for trading	In Sell Trades	Last Changed
* IBB1	KG0101094371	1000	1000	0	0	0	20/01/00

Various other functions can be accessed from this screen. All account activity is available from this screen as well as the ability to perform a new transaction or transfer on the account.

Transaction History

From the **Depository Participant Positions** form click the **Transactions** button and the following form will be displayed. This form shows all transactions for the particular account.

Transactions ISIN: KG0307001717 Account # 060000046

Trans action	Transacti on #	Symbol of	Amount of Shares	Transfer	Reference Number	Transaction Open	Effective till	Closing Date	3	H
*	105	22022	KYPn	80	T 060000046->070000045	D/22022	11 11 99	11 11 99	11 11 99	✓
*	105	22020	KYPn	300	T 060000046->070000045	D/22020	11 11 99	11 11 99	11 11 99	✓
*	105	22018	KYPY	1250	T 060000046->070000045	D/22018	11 11 99	11 11 99	11 11 99	✓
*	105	22016	БЕРЕ	70	T 060000046->070000045	D/22016	11 11 99	11 11 99	11 11 99	✓
*	105	22014	БЕРЕ	51	T 060000046->070000045	D/22014	11 11 99	11 11 99	11 11 99	✓
*	105	22008	AKЖО	949	T 060000046->070000045	D/22008	11 11 99	11 11 99	11 11 99	✓
*	1	21770	AKЖО	949	->060000046	D/21770	11 11 99	16 11 99	01 01 00	✓
*	1	21768	БЕРЕ	70	->060000046	D/21768	11 11 99	16 11 99	01 01 00	✓
*	1	21767	KYPn	300	->060000046	D/21767	11 11 99	16 11 99	01 01 00	✓
*	1	21766	KYPY	1250	->060000046	D/21766	11 11 99	16 11 99	01 01 00	✓
*	1	21765	KYPn	80	->060000046	D/21765	11 11 99	16 11 99	01 01 00	✓
*	1	21764	БЕРЕ	51	->060000046	D/21764	11 11 99	16 11 99	01 01 00	✓
*	105	21726	КАКБ	3539	T 060000046->070000045	D/21726	10 11 99	10 11 99	10 11 99	✓
*	105	21724	КАКБ	1907	T 060000046->070000045	D/21724	10 11 99	10 11 99	10 11 99	✓
*	105	21666	АРПА	296	T 060000046->070000045	D/21666	10 11 99	10 11 99	10 11 99	✓
*	105	21664	АРПА	329	T 060000046->070000045	D/21664	10 11 99	10 11 99	10 11 99	✓
*	105	21662	АРПА	296	T 060000046->070000045	D/21662	10 11 99	10 11 99	10 11 99	✓
*	105	21660	АРПА	329	T 060000046->070000045	D/21660	10 11 99	10 11 99	10 11 99	✓
*	1	21394	КАКБ	1907	->060000046	D/21394	10 11 99	15 11 99	01 01 00	✓

Record: 1 Refresh

Transfer Form

Also from the **Depository Participant Positions** form by clicking the **Transfer** button this form will be displayed.

Transfer

Account # 010000155

ISIN: [Dropdown]

Quantity:

ISIN	Trade	Depository
KG0101072815	0	187
KG0101093316	0	110

Transfer

☒ To Trade system

☐ To Depository

[Buttons: [Icon], [Icon]]

This form is used to move shares to/from the trading floor during the trading day. Select the account, ISIN and position changes required and click the button to create a transfer in that amount. This provides a more dynamic blocking of shares only as they are involved in trading.

New Transaction Form

This form is accessed either from the *Depository Participant Positions* form or from the *Depository System* tab form from the Main Menu. It is used to perform account transfers between the participant accounts at the depository.

The screenshot shows a software window titled "New Transaction". Inside, the main heading is "Account Transactions". To the right, it displays "Account # 010000999" with a "Change" button. Below this, there's a status indicator "Ликвидирован" (Liquidated) and the name of the depository "Кыргыз Долбор" АО. The form is divided into sections. On the left, under "Select Transfer:", there are three radio buttons: "Deposit" (selected), "Transfer", and "Withdrawals". To the right of this, there are input fields for "Quantity:" (containing "200") and "Security:" (a dropdown menu). Below these is a "Comment:" text area and an "Auto Comment:" checkbox which is checked. At the bottom of the form, there are five buttons: "Positions", "Transactions", "Edit information about withdrawals", a checkmark icon, and a refresh icon. Below the buttons is an "SQL:" label followed by a large empty text area.

This form allows the following account movements to be made:

Deposit

Transfer

Withdrawal

The system allows going from this screen to the *Depository Participant Positions* screen and viewing the actual positions for the current account by pressing the “*Positions*” button and to go to the “*Transaction history*” screen by pressing the “*Transactions*” button.

Deposit

The deposit function is used to add new shares to the system based on proper documentation supplied by the participant. To make a deposit, it is necessary to specify the type and amount of shares to be transferred to the current account within the depository. If the transaction is successfully entered, the message *Deposit completed* will be displayed. Afterwards, this transaction will stay in the system and the shares will not be available until the Depository Administrator confirms the deposit. Waiting period is T+3 by default, which means that the transaction should be confirmed during this period otherwise it will be automatically canceled.

Transfer

When transferring shares, the Depository system will automatically check the status of accounts and transfer shares from one account to another. Transactions are processed immediately. They may not be canceled. Entering a reverse (compensating) transaction is allowed to provide a mechanism for cancellation.

Unlike a deposit, this form contains *To the account* fields.

To the account field specifies the depository account to transfer shares to.

The system doesn't allow transferring shares when the source and destination accounts are the same.

When entering transaction for transfer or withdrawal of shares the selection of shares will be restricted to the amount and type of the securities available on the source account.

Upon successful completion of the action, the system will give the message: ***Transfer completed***

Withdrawal

The withdrawal process is similar to transfer to another account, with the only difference that shares will be in the pending status, meaning that these shares will be still owned by the account owner, but unavailable for any operations. Once withdrawal is confirmed by the Depository Administrator, shares will be transferred from the depository account holder.

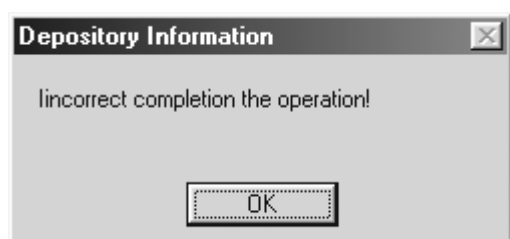
The Depository staff can cancel this transaction. In the case of cancellation the shares will again become available on the account.

Successful execution of the withdrawal operation will be followed by the message ***Withdrawal completed***

Errors

The system will validate the data entered into the fields when entering and if insufficient, will request additional information.

In case a transaction was entered incorrectly the system will send a message:



It means that some data was entered in the wrong way. E.g.: number of shares for withdrawal exceeds available amount.

On most of the cases the message on incorrect entry is followed by an explanation that appears in the *SQL* field.

If all of the data was entered accurately, and the message still says *Incorrect completion of operation* it means that there was a system failure and the system administrator has to be notified.

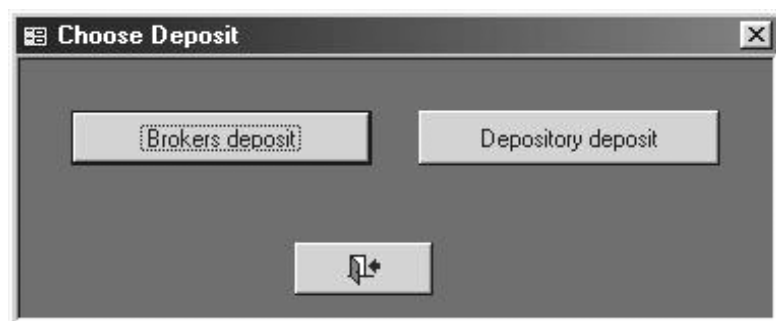
Deposit Release

The system provides two ways of release a deposit:

Deposits can be made and released by the depository staff. Deposits are entered in the System as described in previous section (“**New transaction**”).

Deposits can be made by brokers, but released by the depository staff. The special broker’s application software has been designed to allow brokers to enter deposits in the System from their workplaces.

After selection of the “Deposit Release” function this form is displayed for choice of the which type of deposit to release.



Brokers Deposits

In case of Brokers deposit this form is displayed:



The Depository Administrator has to print the Consolidated Deposit Report on shares transferred for nominal ownership from Registers to the Central Depository before confirmation or cancellation of the Deposits. It can be done by pressing the button:



This is the example of Consolidated Deposit Report:

Consolidated Deposit Report on shares transferred for nominal ownership to the Central Depository								
Name of Registrar "Аудит-регістр" Дочернее предприятие фирмы "Аудит", ЛПД								
No	Last Name, First Name	Passport data	Security	Type of security	Amount	Deposit Period	Result	Comment
1	DVORINHAL	A.345678 выдан МВД от 21/01/98	"Белый" акции простые	простые	230	Оформлен		

Depository attorney

Seal, Name

Registrar attorney

Seal, Name

In order to confirm the transaction marked by the cursor it is necessary to press the confirmation button:



In order to cancel the transaction marked by the cursor it is necessary to press cancel button:



and enter the Reject reason for cancellation in the form that appears after pressing the cancel button.

? X

Enter the reject reason

Depository Deposits

Selection of Depository deposit displays this form:

The screenshot shows a window titled "Deposit release" with a sub-header "Confirmation of deposit". Below this is a table with the following columns: Transaction #, Account #, Trading Symbol, Security, Number of shares, Reference Number, Opening Date, Control Date, Partial Transfer, and Employee ID. The table contains one row of data:

Transaction #	Account #	Trading Symbol	Security	Number of shares	Reference Number	Opening Date	Control Date	Partial Transfer	Employee ID
31095	010001002	HRW01	KG-01014567-1-1	300	0/31095	20/01/00	25/01/00		

Below the table is a toolbar with several icons: a magnifying glass, a funnel, a building icon, a checkmark, an 'X', a "Refresh" button, and a document icon. At the bottom, there is a status bar that says "Record: 1 of 1".

In order to avoid errors and to see the complete information on the transaction marked by the cursor the following button can be used to display the complete detail of the transaction:



In order to confirm the transaction marked by the cursor it is necessary to press the confirmation button:



In order to cancel the transaction marked by the cursor it is necessary to press cancel button:



After pressing the Cancel button the following confirmation screen will appear:

The screenshot shows a small dialog box titled "Depository". It contains a question mark icon and the text "Reject transaction?". At the bottom, there are two buttons: "OK" and "Cancel".

Depository Administrator has to print the Consolidated Deposit Report on shares transferred for nominal ownership to the Central Depository before confirmation or cancellation of the Deposits. It

can be done by pressing the button:



<i>Consolidated Deposit Report on shares transferred for nominal ownership to the Central Depository</i>							
<i>Name of Registrar</i>		Grant \$ C					
<i>No</i>	<i>Last Name, First Name</i>	<i>Passport data</i>	<i>Security</i>	<i>Amount</i>	<i>Deposit Period</i>	<i>Result</i>	<i>Comment</i>
1			Hollywood and C	300			

Depository attorney

Registrar attorney

Seal, Name

Seal, Name

Withdrawal release

After clicking on the *Withdrawal Release* button this form is displayed.

The screenshot shows a window titled "Transfer and Withdrawal Release" with a sub-header "Withdrawals". It contains a table with the following data:

Transaction #	Account #	Trading Symbol	Security	Number of shares	Reference Number	Opening Date	Control Date	Partial Transfer	Employee ID
31084	070000029	БАК1	KG-01030060-2-7	200	D/31084	24/12/99	29/12/99		
31089	020000032	КТЕП	KG-01010933-1-6	30	D/31089	27/12/99	30/12/99		

Below the table is a toolbar with icons for search, filter, print, confirm, cancel, and refresh. At the bottom, it shows "Record: 1 of 2".

Only depository staff are allowed to perform withdrawal transactions

All of the operations with withdrawal transactions are similar to the deposit transactions operations.

Depository Administrator has to print the Consolidated Withdrawal Report on shares transferred for nominal ownership from Central Depository to the Registers after confirmation or cancellation of all

Withdrawals. It can be done by pressing the button:



Create Account

After selection of the “Create account” function, the form for new account creation is displayed. This form is used to add accounts for existing participants or to create a new account for a new participant.

The screenshot shows a software window titled "Create Account". Inside the window, at the top, is a section labeled "Creation of Account". To the right of this label is an input field for "Account #". Below this, there is a large area with a light grey background. On the left side of this area, there are two labels: "Participant" and "Account type", each followed by a dropdown menu. To the right of the "Participant" dropdown is a button labeled "New". At the bottom of the window, there is a dark grey bar containing two buttons: a checkmark button on the left and a back button (represented by a left-pointing arrow) on the right.

The drop-down list box *Participant* is used to select existing Depository participants. To introduce a new participant, press the button *New*. Afterwards the screen for Depository Participants maintains will be displayed.

The drop-down list box *Account type* is used to select the type of the account under creation.

The system provides for several types of accounts as indicated by the first two digits of the account number:

01 – authorized firm An authorized firm is a brokerage firm that is a member of the stock exchange and maintains its own accounts and its client accounts. The account of this type is opened to be used as an active trading account.

11 – unauthorized firm An unauthorized firm is a brokerage firm that is not a member of the stock exchange. It maintains its own accounts at the Depository and has individual client accounts instead of an omnibus position. Its trading activity is done through an authorized firm. This account can be used as an active trading account.

02 – pledge account The account of this type is created for maintaining shares records of the Depository participant entered into obligations. This account cannot be used as an active trading account and is closed for all depository operations.

03 –custodian account The account of this type is created for the individual Depository participant for safe keeping of the shares. Its owner can maintain it. In order to participate in the trading activity the owner of this account has to make the special Agreement with the brokerage firm (authorized firm). This account can be used as a third party account.

The accounts of the following types (04-07) are created for the Depository participants (authorized firms) to provide trading activity with firms clients shares. According to the Agreement between brokerage firm and its client the clients shares are transferred for nominal ownership from the Registrars to the Depository on the accounts (type 04-07) of the brokerage firm.

04 – selling

05 – buying

06 – one-day selling

07 – one-day buying

Accounts Maintenance

After selection of the “Accounts maintenance” function this form is displayed.

Account #	Name of account	Name of participant	Status
010000017	"Passer & Co." ЗАО	ЗАО "Passer & Co."	Активен
010000025	ЗАО "Алмаатинский торгово-финансовый банк"	ЗАО "Алмаатинский торгово-финансовый банк"	Активен
010000033	АООТ ИФ "Чуйинвест",	АООТ ИФ "Чуйинвест"	Активен
010000041	АОЗТ "NCP Brothers & F.Co",	АОЗТ "NCP Brothers & F.Co"	Активен
010000059	"Сенти"	ФК "Сенти"	Активен
010000064	АКБ "Толубай",	АКБ "Толубай"	Активен
010000075	ОсОО ВНС,	СКРОсОО ИКЦ ВНС	Активен
010000091	ОКБ "Аалам"	ОКБ "Аалам"	Активен
010000105	АО "Ошский инвестиционный фонд "Ошинвест",	АО "Ошский инвестиционный фонд "Ошинвест",	Активен

Account #	010000017	Status	Активен
Name of account	"Passer & Co." ЗАО		
Name of participant	ЗАО "Passer & Co."		
Reason of status change			

Buttons: Refresh, Navigation arrows, Save, Print, Close

Record: 1

This form contains the list of all of the Depository participant’s accounts and allows filtering the list by account types. It is possible to change the current status of the account by selecting an account from the list, changing its status, inputting the reason of status change and saving changes.

There are several types of account status:

Active – account available for any operations

Suspended – temporarily unavailable for all operations

Fined – deposit allowed, transfer and withdrawal banned

Liquidated – not available for any operations. After this operation, the field *Closed* will contain an indicator that the account is closed.

Chapter 4: Open/Close the Day

The following screen shows the depository open/close day functions. They are:

- Open day
- Close day
- Transfer positions to the Trading System

The screenshot shows a software window titled "Depository Menu". On the left is a logo of a globe. To its right is a "Depository Date" section with a table:

20/01/00	14:38
xxx	5

Further right is a message: "Internal depository system date is less than todays date, opening day operations should be processed." and four small icons (key, lock, folder, and a refresh/cycle icon). Below this is a tabbed interface with tabs: "Depository System", "Clearing/Settling System", "Reports", "Open/close day" (which is selected), and "References". The main area of the "Open/close day" tab is titled "Open/Close Day" and contains several buttons and labels:

- "Today's Date" button showing "20/01/00".
- "Open Day" button with the label "Operations to Begin Day" below it.
- "Close Day" button with the label "Operations to Close Day" below it.
- "Transfer positions to the Trading System" button.

Open the day operation implies changing of the Depository work date and transferring data from the Depository system to the Trading system.

This operation is possible if the previous workday was closed.

Working days are determined by the depository system based on information contained in reference data entered elsewhere in the program. The system users can define their own holidays and work week. The system will then use this information to calculate the next working day for the purposes of dating transactions and performing clearing and settlement.

The operation **Close the day** is possible once all of the required clearing and settlement operations have been performed. It is possible to check the status of clearing and settlement operations by viewing the *Clearing/Settling system* screen. If the messages on one or more buttons are in blue, it means that those operations need to be still performed for this working day.

After **Open the day** operation and when the Depository staff makes all preparations, it is necessary to **Transfer securities to the Trading System**. This function blocks the designated shares on the accounts for Depository operations and makes them available for Trading System.

Chapter 5: Clearing System

The following screen shows the depository clearing functions. They are:

Accept Trading system information

Settlement Statement for tomorrow's settlements

Settlement Statement for today's settlements

Report to Clearing Bank (Due To)

Bank Statement processing

Settling trades

Entering offsetting Trades

View Projected Settlements for Tomorrow

Viewing Settlement for Today

Note: the following screen sample shows buttons with labels T+2 and T+3. The system was originally designed with a fixed T+3 settlement cycle. That has been modified to be variable. The labels are left over from the old T+3 cycle. What they mean in relation to a variable settlement cycle is this: T+2 is the day before settlement and T+3 is the day of settlement. Sorry for the confusion.

The screenshot shows a window titled "Depository Menu". It features a logo on the left and a header section with a "Depository Date" field showing "27/12/99" and "11:25", and a status message: "Internal depository system date is less than today's date, opening day operations should be processed." Below the header is a tabbed interface with tabs for "Depository System", "Clearing/Settling System", "Reports", "Open/close day", and "References". The "Clearing/Settling System" tab is active, displaying a grid of buttons. The left column contains buttons for "Accept trading system information", "Settlement Statement on T+2", "Settlement Statement on T+3", "Report to Clearing Bank (DueTo)", "Bank Statement processing", and "Settling trades". The right column contains buttons for "Enter Offsetting Trades", "Trades status on T+2", and "Trades status on T+3".

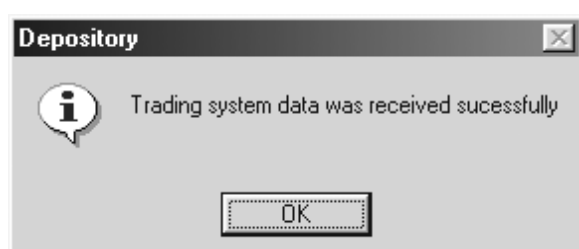
The functions on the left side of this form must be done in sequence and these make up the clearing and settlement process of the depository system. Notice the three colors of the button text on the left side buttons in the above sample: Grey, Blue, and Black. The system contains an automated

mechanism to help the depository staff perform the operations in the correct sequence. A grayed button indicates that this function has been performed for this working day. A blue function indicates the next step(s) to be performed. In the case of this sample, it is not sequentially important which settlement statement is generated first. A button with black text is unavailable until the previous functions have been performed.

Accept the Trading System Information

This function moves the trade results and positions involved in the current day's trading activity back to the depository. This unblocks all shares that were blocked for trading and that weren't used in trades. It maintains blocks on shares that were involved in trades. Performing this function is possible after the Trading system work is over. If the button turns blue, it means the operation is active.

When this function is performed correctly, the following message will appear:



Settlement Report for Tomorrow

The system will verify transactions to be carried out on the following day, to ensure sufficient amount of securities. This report will show each party involved in trades that will be settling on the next day. It will show positions required to meet obligations on the next days settlement cycle. It provides the ability to make transfers and deposits to cover settlement requirements.

It also shows the required cash for tomorrow's settlement operations for each participant involved in trades.

When the settlement report for tomorrow is calculated, the following dialog will confirm completion:



The next four functions on the Clearing/Settling form are required to process today's clearing and settlement operations.

Settlement Report for Today

In order to clear and settle trades it is necessary to double-verify the account positions and the cash to ensure there are enough securities; as one or more offsetting transactions might have been entered

since the last verification, and the transactions previously planned to be canceled might go through. This is the purpose of the second settlement report.

Once the positions are verified, the cash amount to be paid or received by each depository participant involved in settlement is determined.

Report to Clearing Bank (Due To)

This function calculates the funds needed for settlement. It prints a report of instructions to the bank on transfer of assets from payers' accounts to the transit account of the depository containing depository participants, account numbers, amounts to be transferred and number of the transfer. Then the extract from the bank is processed to record payments.

Bank Statement processing

Transfer number	Firm Name	Bank Account #	Change of amount in the	Payment Confirmation
1	ОсОО ИФК "Капитал"		1 670.00p.	<input checked="" type="checkbox"/>

Record: 1 of 1

Depository participant

This form allows the depository staff to indicate that the funds are available in each participants settlement account to process the day's settlement transactions. A check is indicated next to each amount by the depository staff to indicate that the funds have been verified.

After the extracts from the bank are processed there are two possible results:

One or more payments did not go through.

All payments went through.

Should there be any outstanding payments the following actions have to be taken again:

Generation the Settlement Report for today

Generation the instructions to Clearing Bank (to transfer assets from payers' accounts to the depository transit account)

Bank Statement processing

Once all the payments are accepted it is possible to carry out final settlement. This bank statement processing function produces a report to the bank for the cash side of the day's settlement transactions. Upon receipt of this report, the bank will debit and credit the appropriate accounts. After that the securities can be transferred.

Entering Offsetting Trades

Third-party transactions differ from ordinary ones by the reference to the third party either from the side of the broker buyer or the broker-seller, or from both sides. Third-party trades provide the custodial mechanism for the depository system. An offsetting trade is an indication that the custodian has confirmed the operation with the third-party and verified the trade. Unlike ordinary trades, the third-party ones are not the subject for preliminary verification in the trading system to ensure sufficient amount of securities. That is the purpose of entering the offsetting transaction upon receiving confirmation from the third party, where the third party will represent either securities or money. Until an offsetting transaction is entered, the original third-party transaction will be regarded as unconfirmed. Once the offsetting transaction is entered, it confirms the original transaction.

Once the confirmation from the third party is in place, there should be an offsetting transaction entered at the Depository. In order to do this, the depository specialist needs the number of the original third party trade from one of two lists. Both lists contain information on original third party transactions with the only difference that in one of them third parties are referred to as securities buyers, in another one – as sellers of securities.

The offsetting trade may be entered with the amount of securities less than in the original third party transaction.

The depository specialist may cancel the offsetting transaction until the moment it is involved in settlement.

View Trade Status for Tomorrow

This screen shows the transactions where the settlement date is the following workday of the depository. By choosing the exact date it is possible to view details of the trades.

The depository transactions view is available from this screen by pressing the *Depository transactions* button.

Push the button to view the form *Depository transactions* where it is possible either to cancel the transaction or restore a previously canceled one.

View Trade Status for Today

This screen is similar to the screen **Viewing the trades status for next day**, with the only difference of showing transactions with the settlement date of today.

Trades T3

Today's Date: 25/01/00

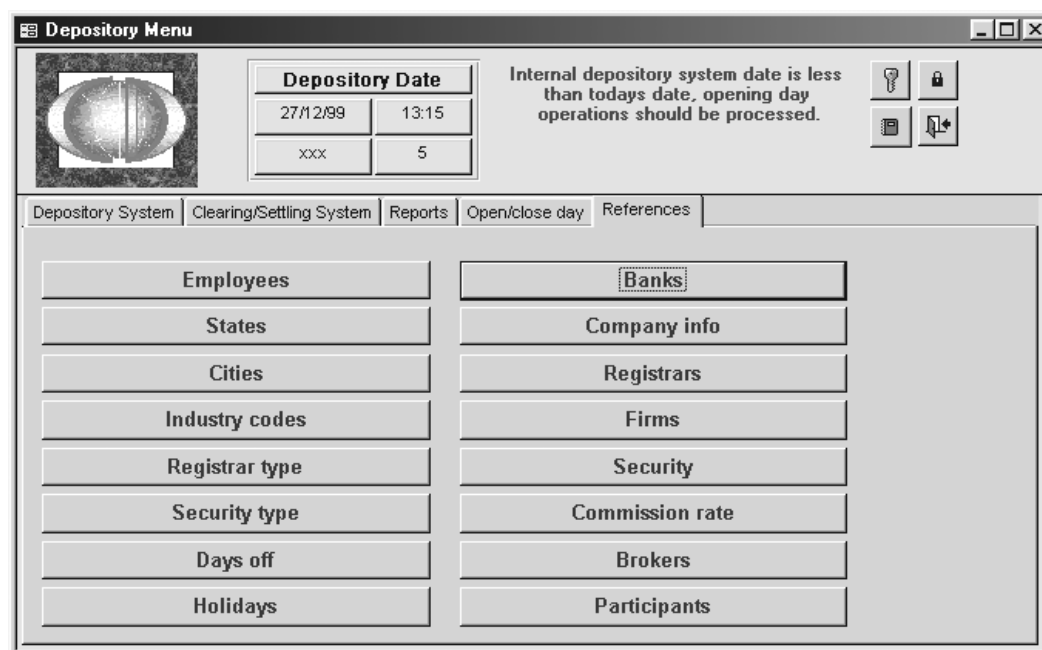
OrTrNumber	AccBuyer	AccSeller	TradingSymbol	Quantity	Price	PrevCx	Confirmed	Paid
1	010001002	010000189	КАНТ	100	4.50p.	активна	--	нет
2	070000011	010001002	БАК1	106	20.00p.	активна	--	нет

Trade information | Depository Trades | Firms / participants money

Record: 1 of 2

Chapter 6: References

The following screen shows the list of References used in the system.



By choosing the necessary reference, the depository administrator can view all records in the reference as well as add and modify entries in it.

Common Command Buttons in References

All of the reference forms have the same interface – the top of the screen shows the name of the reference and any title information, the middle part – records in table form, the bottom part – the fields of the currently selected record and various function buttons. Here some samples of command buttons that are used to perform various functions. These buttons are common to many forms in the References section of the system.

Exit the screen 

Delete record  or 

Save changes 

Undo changes 

Enter new record 

Go to the end of the list to see the last record



Go to the first record



Go to the next record



Go to the previous record



Refresh the list

Refresh

Depository Employees

This screen shows the list of depository employees with detailed information for every employee.

The employee details are:

Employee ID – unique employee code given automatically by the system;

Mnemocode –specific employee code;

Access Level – employee access level to different Depository functions;

Last Name, First Name, Middle Name

E-mail;

Address – mail address;

City;

ZIP code;

Home phone;

Work phone;

Department;

Date of Birth;

Date of employment;

Contact person – the person who is authorized to give information about the employee;

Contact phone – the contact person phone number;

Comments.

Countries

This screen shows the list of Countries used in the Depository system. States is the ex-Soviet term for country.

States

List of States

State ID	State Name
KZ	Kazakhstan
KG	Kyrgyzstan

State ID:

State Name:

Refresh | < | > | << | >> | >* | < | << | >> | >>*

Record: << | < | | > | >> | >>* | of 2

Every country has its own unique code – State ID according to the international standards.

Cities

This screen shows the list of Cities used in the Depository system.

Cities

List of cities

City ID	City Name
25	Almaty
8	Atbashi
5	Balykchi
1	Bishkek
3	Jalal-Abad
11	Kant
4	Kara-Balta
16	Kara-Kul
22	Kara-Suu
14	Kok-Yangak

City ID: 25
City Name: Almaty

Refresh [Navigation Buttons]

Record: 1 of 31

City ID – unique code given automatically by the system

Industries

This screen shows the list of industry categories used in the Depository system.

The screenshot shows a software interface titled "Industry codes". At the top, there is a header "List of Industries". Below this, there are two input fields: "Sector ID" and "Sector Name". A table lists four industry categories: 01 food industry, 02 light industry, 03 financial, and 04 engineering. Below the table, there are two more input fields: "Sector ID" with the value "01" and "Sector Name" with the value "food industry". At the bottom, there is a "Refresh" button and a row of navigation icons including arrows, a search icon, a refresh icon, and a window icon.

Sector ID	Sector Name
01	food industry
02	light industry
03	financial
04	engineering

Sector ID: 01
Sector Name: food industry

Refresh [Navigation Icons]

Registrar Types

This screen shows the list of Registrar types used in the Depository system.

Registrar type

List of Registrar Types

Type ID	Registrar Type
2	Independent Registrar
5	Independent Registrar/Payment Agent
1	Internal Registrar
4	Internal Registrar/Payment Agent
3	Payment Agent

Registrar Type ID
Registrar Type

Refresh

Record: of 5

Security Types

This screen shows the list of Security types used in the Depository system.

Security type

List of types of securities

Security Type	Security Type Name
4	bill
2	bond
1	common share
6	Cupon
3	preference share
5	SPF share

Security Type ID

4

Security Type Name

bill

Refresh

◀

◁

▷

▶

⌂

↶

💾

✕

↷

Record:

◀

◁

1

▷

▶

⌂

of 6

Holidays

This screen shows the list of Holidays used in the Depository system. The dates included in this list will be skipped when the Depository operation date is changed. The allows depository staff to create their own calendar of working days.

Holidays

List of Holidays

Day	Month	Comments
1	Январь	New Year

Day:

Month:

Comments:

Refresh [Left Arrow] [Right Arrow] [Double Left Arrow] [Double Right Arrow] [Search Icon] [Undo Icon] [Save Icon] [Delete Icon] [Print Icon]

Record: [First Arrow] [Previous Arrow] [Next Arrow] [Last Arrow] of 1

The details are:

Day – the day number

Month – month name

Comments – the holiday name

Days Off

This screen shows the list of Days off used in the Depository system. The dates marked as non-working days in this list will be skipped when the Depository operation date is changed.

Day off

Days off

January 2000

Sun	Mon	Tue	Wed	Thu	Fri	Sat
26	27	28	29	30	31	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31	1	2	3	4	5

Add Year

Date: 24/01/00

Day: Working Day

Comments:

Refresh | Navigation buttons | Save icon

The details are:

Date

Day – working day or day off

Comments – the reason for day off

In order to add new year and install working days and days off for new year it is necessary to press the button *Add Year*. This adds a complete calendar year to this list and marks Saturday and Sunday as non-working days. From this form the depository staff can then mark any Saturday and Sunday as a working day if required.

Banks

This screen shows the Banks list.

The screenshot shows a software interface titled 'Banks'. At the top, there is a 'Banks List' section with a table containing the following data:

Bank Name	City of Bank
Aman Bank	Bishkek
Bishkek-3	Kara-Balta
Bishkek	Bishkek
International Business Bank	Bishkek
Maksat	Bishkek
PromStroyBank "Bishkek"	Bishkek

Below the table, there is a form for the selected bank, 'International Business Bank'. The fields are as follows:

- Bank ID: 330107772
- Name of Bank: International Business Bank
- City of Bank: Bishkek (dropdown menu)
- Idress of Bank: Togolok-Moldo 59
- Public PGP: (empty field)

At the bottom of the form, there is a 'Refresh' button and a set of navigation buttons (back, forward, search, etc.). The status bar at the very bottom indicates 'Record: 4 of 11'.

Information about bank includes the Bank ID, Bank name, city of residence, mail address and public PGP. PGP is an encryption methodology that can be implemented as electronic bank communication is established between the depository and settlement bank(s). It is not currently functional in the system.

Companies

This screen shows the list of Joint Stock Companies which have securities held in the Depository.

The screenshot shows a software interface titled 'Company info'. At the top, there is a tab labeled 'List of companies'. Below this, a table lists companies with columns for 'Company Name' and 'City'. The first entry is 'Hollywood and C' in 'Bishkek'. Below the table is a detailed form for the selected company. The form includes fields for: Company ID (3456-0), State (Kyrgyzstan), Company Name (Hollywood and C), Phone (350-835), ZIP Code (720098), Fax, Address (4-New Square), Contact Person, Rayon, City (Bishkek), Comments, Region (Bishkek), and NSC Code (4567). At the bottom, there is a search bar with 'holl' entered, a 'Refresh' button, and several navigation buttons. A status bar at the very bottom indicates 'Record: 1 of 1'.

It is necessary to enter detail information about every JSC. The details are:

Company ID – unique ID for every company

Company Name

ZIP code and address

City – City name can be selected from the List of Cities, according to the Cities reference

Rayon- the district of the city

Region – Region name can be selected from the List of Regions, according to the Regions reference

State – country name can be selected from the List of States, according to the States reference

Phone and fax numbers

Information about Contact person – last name and position

NSC Code – unique registration code assigned to the company by the National Security Commission

For convenience sake, there is a list box to search for companies by name or any part of the name. It

is necessary to press the following button to activate the search/filter.



Registrars

This screen shows the list of Independent Registrars with detailed information about every Registrar firm.

Registrars

List of Registrars

Name	Sector of activity
Grant \$ C	Independent Registrar

Registrar ID: 41

Name of Registrar: Grant \$ C

Symbol ID: GR

ZIP Code: 720087

Address: 3 Faysto st

Rayon:

City: Bishkek

State: Kyrgyzstan

Sector of activity: Independent Registrar

Phone: 456-843

Fax: 459-430

License #: 45

Contact Person: Green D.F.

Public PGP: 45

Comments:

Gran

Refresh

Record: 1 of 1

The details are:

Registrar ID – unique ID for every Registrar firm

Registrar Name

ZIP code and address

City – City name can be selected from the List of Cities, according to the Cities reference

Rayon- the district of the city

State – Registrar name can be selected from the List of States, according to the States reference

Phone and fax numbers

Information about Contact person – last name and position

License # – unique license # assigned to the Registrar

Comments- some additional information about the Registrar firm

For convenience sake, there is a list box to search for companies by name or any part of the name. It

is necessary to press the following button to activate the search/filter.



Brokerage Firms

This screen shows the list of Brokerage Firms with detailed information about every firm. This is the list of firms who are members of the Stock Exchange.

The screenshot displays a software interface titled 'Firms List'. At the top, there is a search bar with 'Pragma' entered. Below this, a table lists firm details. The first row shows 'Pragma' with a 'City' of 'Bishkek'. Below the table, a detailed form for the selected firm 'Pragma' is visible. This form includes fields for Firm ID (80), ZIP Code (720010), Bank (Bishkek), Firm Name (Pragma), Address, Bank Account #, English Name (Pragma), Rayon, Corr. Account #, Short Name (Pragma), City (Bishkek), Account #, Symbol Code (PR), State (Kyrgyzstan), MFO, License # (1), Phone, Initial Credit (0.00c), Sector (1), Fax, Remaining Credit (0.00c), Firm Status (Active), Public PGP, Comments, Date of Status Start (20/01/2000), Contact Person, Date of Status End, and Reason for Status. At the bottom, there are navigation buttons including 'Refresh', 'Previous', 'Next', and 'Find', along with a status bar showing 'Record: 1 of 1'.

The detail information about every firm includes:

Firm ID – unique ID for every firm

Firm Name

Firm name in English

Short Firm name

License # - unique license # assigned to the Firm

ZIP code and address

City – City name can be selected from the List of Cities, according to the Cities reference

Rayon- the district of the city

State – country name can be selected from the List of States, according to the States reference

Phone and fax numbers

Information about Contact person – last name and position

Information about Firms Bank-Bank name, Bank Account #, MFO

Firm Status – active, canceled, fined, suspended.

Date of Status Start and Status End

Reason for given Status

Initial Credit – the credit sum given to the Firm in order to participate in trading activity and settlement process. This function provides a method to manage risk by limiting trading activity to a certain money amount for different firms based on their credit worthiness.

Remaining Credit – the amount not yet involved in buy trades or orders.

For convenience sake, there is a list box to search for companies by name or any part of the name. It

is necessary to press the following button to activate the search/filter.



Brokers

This screen shows the list of Brokers for each firm that is a member of the Stock Exchange.

The details are:

Broker ID –unique Brokers Code

Broker Mnemocode – brokers username used to identify the broker in the System

Brokers Last name, First name and Patronymics name

Brokers firm –the name of Brokerage firm can be selected from the List of Brokerage firms, according to the Brokerage firms reference


Broker Type – can be broker, trader, specialist

Broker Status - active, canceled, fined, suspended.

Date of Status Start and Status End

Reason for given Status

Comments

For convenience sake, there is a list box to search for companies by name or any part of the name. It is necessary to press the following button to activate the search/filter. 

Brokers Mnemocode (username) and password are assigned to the broker to provide access to the Trading System. The Depository Administrator can assign a new password or change the existing broker's password by pressing the button *Change password*.

After pressing the button *Change password* this form is displayed.

The screenshot shows a window titled "Broker passwords". Inside, there is a table with the following data:

Broker ID	Broker UserID	Password	Change password
150	HA-04A	***	Do not change

Below the table is a form with the following fields and controls:

- Broker ID: 150
- Broker UserID: HA-04A
- Password: ***
- Change password: Do not change (dropdown menu)
- Buttons: Refresh, navigation arrows (back, forward, etc.), and a save button.
- Record status: Record: 1 of 1

Securities

This screen shows the list of Securities with the detail information about every security.

Security	Security Name	Trade Symbol
KG0101456711	Hollywood and C	HW01

Security ID	KG0101456711	Company	Hollywood and C
Security Name	Hollywood and C	Sector	light industry
Security Name in English	Hollywood and C	Registrar	Grant \$ C
Trade Symbol	HW01	Payment Agent	Grant \$ C
Trade symbol in English	HW01	Market Price	0.00c.
Short Name of Security	Hollywood	Share par value	10.00c.
Type of security	common share	Comments	
Admitted	Trade And Depositor		
Listing category	Non-listed		
Date of issue of securities	26/01/1999		
Issue #	1		
Number of securities issued	1 000		

Record: 1 of 1

The details are:

Security ID (ISIN) – unique security code, created automatically when the new security is entered in the system. It has 12 symbols:

First and second symbols – the Issuer Country code, according to the International Standard Country Codes

Third symbol – zero always

Fourth and fifth symbols – the type of security

Sixth, seventh, eighth and tenth symbols –NSC Code – unique registration code assigned to the Issuer by the National Security Commission

Eleventh symbol – the code of the Region where the Issuer has been included in the Register.

Twelfth symbol – the control digit calculated according to the special algorithm

Security Name both in Russian and English

Trading symbol – a 4 character symbol used to identify the security to the Trading system

Type of the security - can be selected from the List of Security Types

Admitted –the security access type. The security can be admitted to be used only in the Depository system, Only in the Trading System, In both Systems or neither system

Listed category –there are two security categories used by the System

Listed – Issuers who have met the strict requirements of the Stock Exchange on financial disclosure and are officially listed on the Exchange.

Nonlisted – Issuers who are not officially listed on the Stock Exchange but with issues that brokers are interested in trading.

Date of security issue, issue number and amount of shares in this issue

Company –Issuer name

Sector – the Issuer industry type can be selected from the List of Industries

Registrar – the name of the Independent Registrar holding the Register for this security can be selected from the Registrars List

Payment Agent – the name of the payment Agent, usually the Registrar is the Payment Agent as well.

Market price – the last trade price of the share undated each trade day

Share par value – the nominal shares price

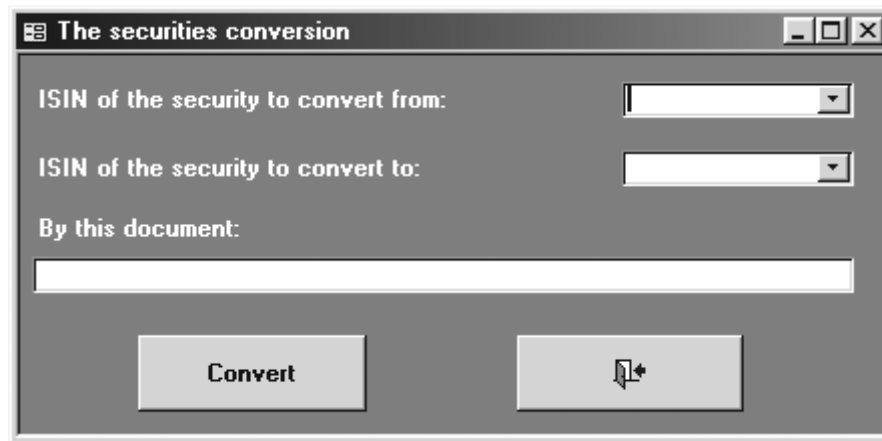
Comments

For convenience sake, there is a list box to search for companies by name or any part of the name. It is necessary to press the following button to activate the search/filter.



Various other functions can be accessed from this screen. Review and editing the security commission rates are available from this screen as well as the ability to perform a securities conversion (from one security type to another one).

After pressing the button *Securities conversion* this form is displayed



The screenshot shows a window titled "The securities conversion". It contains two dropdown menus for "ISIN of the security to convert from:" and "ISIN of the security to convert to:". Below these is a text field labeled "By this document:". At the bottom are two buttons: "Convert" and a button with a right-pointing arrow and a document icon.

Security conversion means that the security ISIN will be changed. This was a situation encountered in early operations of the depository. This operation entails withdrawals of all shares (security to convert from) from all Depository accounts and deposits shares (security to convert to) to the corresponding Depository accounts. It is necessary to enter the name and number of the document authorizing the conversion.

Fees

This screen shows the securities fee list. This is a form to enter a sliding commission scale for each security on the system.

Commission rate

Fee list

Security ID	Trade Amt	Bid (%)	Bid (amt)	Ask (%)	Ask (amt)
KG-01010018-1-4		0.00c.	0.1	0.00c.	0.1
KG-01010018-1-4	999 999 999.00c.	0.1	0.00c.	0.1	0.1
KG-01010025-1-5		0.00c.	0.1	0.00c.	0.1
KG-01010025-1-5	9 999 999 990.00c.	0.1	0.00c.	0.1	0.1
KG-01010033-1-5		0.00c.	0.1	0.00c.	0.1
KG-01010033-1-5	999 999 999.00c.	0.1	0.00c.	0.1	0.1
KG-01010034-1-4		0.00c.	0.045	0.00c.	0.045
KG-01010034-1-4	99 999 999 999.00c.	0.045	0.00c.	0.045	0.1
KG-01010048-1-8		0.00c.	0.045	0.00c.	0.045
KG-01010048-1-8	999 999 999.00c.	0.045	0.00c.	0.045	0.1
KG-01010050-3-9		0.00c.	0.1	0.00c.	0.1
KG-01010050-3-9	9 999 999 990.00c.	0.1	0.00c.	0.1	0.1
KG-01010058-1-5		0.00c.	0.1	0.00c.	0.1

Trade symbol: ИЛБИ Bid (%): 0.1 Sold (%): 0

Trade amt: 0.00 Bid (amt): 0.00c Sold (amt): 0.00

Refresh

There are at least two records for each security – a minimum and maximum number of shares and the commission for that amount of shares.

Each record in the List presents the following information

Security ISIN

Trade volume limit

Bid (%) – a percentage of the value of the specified share amount to be paid by the buyer

Bid (amt) – a fixed amount of commission for the specified amount of shares traded that is paid by the buyer

Sold (%) – a percentage of the value of the specified share amount to be paid by the seller

Sold (amt) – a fixed amount of commission for the specified amount of shares traded that is paid by the seller

Depository Participants

This screen shows the Depository Participants list. Depository accounts can be opened only for firms or physical persons included in the list of participants.

Participants

List of Depository Participants

Participant Name: **Pragma**

Participant ID	10265	Participant Type	Authorize Firm
Participant Name	Pragma	Participant's Firm	Pragma
Legal Person Attribute	Legal Person	Work Address	42 Ap13 Erkindic b.
Address	42 Ap13 Erkindic b.	Account #	0456789
Postal Address	42 Ap13 Erkindic b.	Corr. Account #	3245678
Phone #1	258-978	MFO	
Phone #2	258-977	Date of last change	20.01.2000
Fax	258-978	Contact Person	
Telex		Comments	

Record: 1 of 1

Buttons: Refresh, Choose the firm, Create Account

The details about every participant are:

Participant ID – unique participant code

Participant name

Legal person Attribute –legal person type can be selected from the list (legal or physical person)

Address- legal participant address

Post Address, Fax number, Phone numbers, Telex

Participant Type – determines the account type and can be selected from the list

Authorized firm –“A”

Non authorized firm –“F”

Pledge – “T”

Custodian –“C”

Sell –“S”

Buy – “B”

One day sell –“L”

One day buy –“M”

Participant firm – the authorized firm manages this participant accounts, can be selected from the List of Firms


Account – Participant Bank account number

Corr. Account – Participant Bank corresponded account number

MFO – Bank code

Date of last changes – date of last information's changes

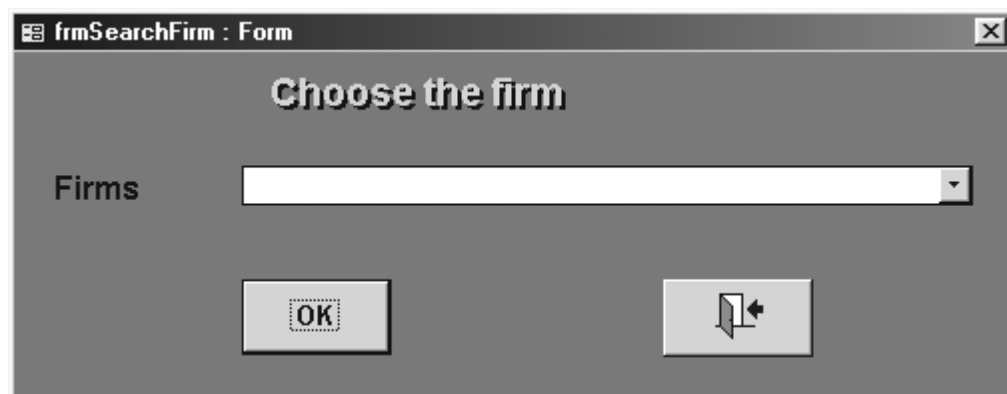
Comments – any additional information about the participant

For convenience sake, there is a list box to search for companies by name or any part of the name. It is necessary to press the following button to activate the search/filter. 

When a new participant is entered, the depository account for this participant is created automatically according to the participant's type.

Each participant can open more than one depository account. There are two ways of creating a new account for the existing participant.

The first way is to use the *Choose the firm* button. After pressing this button the following screen will appear:



It is necessary to select the firm from the List. The firm's detailed information is passed to the form *List of Depository Participants*. It is necessary to select the participant's type and save the record. A new depository account will be created automatically.

The second way is to use the *Create account* button. After pressing this button the following screen will appear:

The screenshot shows a software window titled "Create Account". Inside the window, the title "Creation of account" is displayed. There is an "Account #" input field. Below it, the "Participant" field contains the text "Кыргыз Долбор". The "Account type" is represented by a dropdown menu. At the bottom of the window, there are two buttons: the top one features a checkmark icon, and the bottom one features a document icon with a plus sign.

It is necessary to select the account type from the list and after saving the record the new account will be created.

Chapter 7: Reports

After selection of the “**Reports**” function, this screen is displayed.

The screenshot shows the 'Depository Menu' window with the 'Reports' tab selected. The 'Depository Date' is set to 27/12/99. A message states: 'Internal depository system date is less than today's date, opening day operations should be processed.' The 'Reports' section lists several report types, with the first three highlighted in blue: 'Depo' accounts balance sheet, Securities balance sheet, and Composite balance on 'Depo' accounts. The 'View' checkbox is checked.

Depository Date	
27/12/99	14:54
xxx	5

Internal depository system date is less than today's date, opening day operations should be processed.

Depository System | Clearing/Settling System | **Reports** | Open/close day | References

Reports

Depository Date: 27/12/99

Change Reporting Date

Reset reporting date

Reports marked in blue use date parameters

☒ View

Page N° 1 | Page N° 2 | Page N° 3

- "Depo" accounts balance sheet
- Securities balance sheet
- Composite balance on "Depo" accounts
- Depository Transfer Orders
- Depository Accounts Extract
- Depository balance sheet

All of the reports highlighted in blue are based on the date entered the field *Depository Date*. To change the Report date press *Change Reporting date* button.

After pressing this button the calendar form will be displayed for selecting the date.

The screenshot shows the 'Calendar' window for December 1999. The date 27 is selected. The 'Date1' button is visible.

December 1999 | December | 1999

Mon	Tue	Wed	Thu	Fri	Sat	Sun
29	30	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31	1	2
3	4	5	6	7	8	9

Date1

To reset the reporting date to the current date it is necessary to press *Reset Reporting date* button.

There are two ways of viewing the Reports:

View Onscreen – *View* check box should be checked

Print Immediately - *View* check box should not be checked

There are three lists of Depository Reports available by clicking on the *Page №* tabs.

The full list of the reports available in the system is:

Page №1

- “Depo” Accounts Balance Sheet
- Securities Balance Sheet
- Composite Balance on Depo Accounts
- Depository Transfer Orders
- Depository Accounts Extract
- Depository Balance Sheet

Page №2


- Securities list
- Shares Transactions Report for Period
- Accounts Activity Report

Page №3

- Summary Settlement Report (T+2)
- Summary Settlement Report (T+3)
- Funds/Securities Due To Report
- Funds/Securities Due From Report
- Firms Settlement Report (T+2)
- Firms Settlement Report (T+3)

“Depo” Accounts Balance Sheet

This is an example of “Depo” Accounts Balance Sheet.

 Closed Joint Stock Company "Central Depository"			
<i>"Depo" accounts balance sheet</i>		22-ноя-99 Лист № 1 из 7	
	<u>T+0</u>	22/11/99	<u>T+0</u> 22/11/99
Account # 010000017		"Passer & Co." ЗАО	
Code	ISIN	Outgoing securities amount:	
B3PBI	KG0101093217	2000	
KTEL	KG0101093316	3	
APHA	KG0101095519	70	
MYHA	KG0101114021	4500	
KRAM	KG0102002118	153	
BEPE	KG0102020219	100	
KJPI	KG0106001314	41	
Account # 010000025		ЗАО "Алматынский торгово-финансовый банк"	
Code	ISIN	Outgoing securities amount:	
KTEL	KG0101093316	55000	
KTA3	KG0101087219	5000	
KAPA	KG0101085726	101536	
K3H2	KG0101072815	5876040	
KAHT	KG0101053922	784771	
BAFI	KG0103006027	61288	

This Report presents the Depository Balance Sheet grouped by Depository Accounts.

The detail information about each account is:

Account number

Participant name


Code – security’s trade symbol

ISIN

Security balance

Securities Balance Sheet

This report shows the positions held at the depository for each security. This is an example of Securities Balance Sheet.

		Closed Joint Stock Company "Central Depository"	
<i>Securities balance sheet</i>		22-ноя-99 Лист № 1 из 12	
Code	BCrM	KG0101002515	Банккестройматериалы
		T+0	22/11/99
		T+0	22/11/99
Account #	Account holder		Balance
020000024	АООТ ИФЭТ "Ала-Тоо-Инвест",		1700
		Total :	1700
Code	KPA1	KG0101003414	КРАМДС-БАНК 1мл.
		T+0	22/11/99
		T+0	22/11/99
Account #	Account holder		Balance
010000033	АООТ ИФЭТ "Чуйинвест",		84
110000014	"Береке-Инвест",		155
		Total :	239
Code	HAPl	KG0101007076	Наркентэнергоэлектрострой
		T+0	22/11/99
		T+0	22/11/99
Account #	Account holder		Balance
040000048	"Passer & Co." ЗАО Продажа		10000
		Total :	10000
Code	BCYT	KG0101007829	Банккестрой
		T+0	22/11/99
		T+0	22/11/99
Account #	Account holder		Balance
110000014	"Береке-Инвест",		6900
		Total :	6900
Code	TEPL	KG0101009569	Теплоэнергетика
		T+0	22/11/99
		T+0	22/11/99
Account #	Account holder		Balance
040000014	ИФЭТ "Капитал" Продажа		867
		Total :	867

This Report presents the Depository Balance Sheet grouped by Securities.

The detail information about each security is:

Code – security's trade symbol

ISIN

Security issuer name

Account number

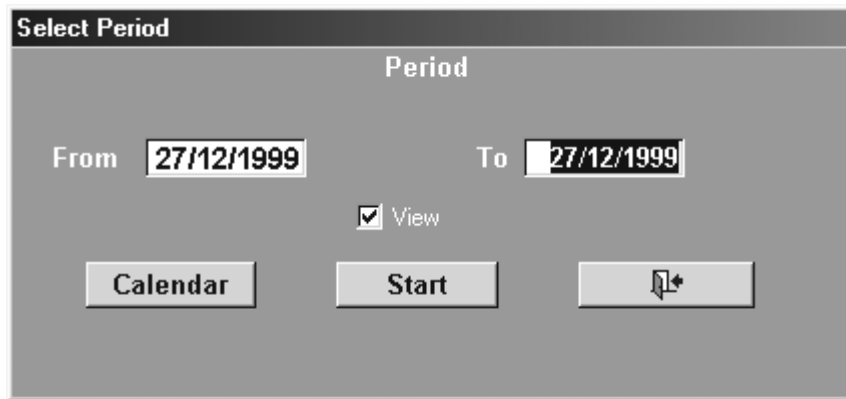
Account Holder –Depository Participant name

SECURITY BALANCE

Composite Balance on Depo Accounts

This Report is created for the selected period.

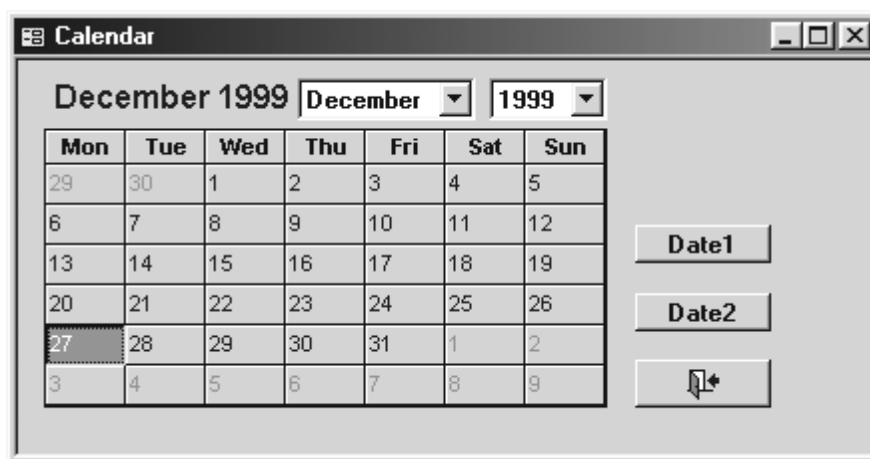
This is the form for selection of the reporting period:



The 'Select Period' dialog box contains the following elements:

- Period** label at the top center.
- From** and **To** date fields, both containing '27/12/1999'.
- A **View** checkbox with a checkmark.
- Three buttons at the bottom: **Calendar**, **Start**, and a button with a calendar icon and a plus sign.

It is possible to enter the *From* and *To* dates manually or select them from the *Calendar*. The *Calendar* form will be displayed by pressing the *Calendar* button.




The 'Calendar' dialog box displays a calendar for December 1999. It includes the following elements:

- Month and year dropdowns: **December** and **1999**.
- A 7x7 grid of dates. The date **27** is highlighted with a dotted border.
- Two buttons on the right: **Date1** and **Date2**.
- A button with a calendar icon and a plus sign at the bottom right.

Date1 – *From* date

Date2 – *To* date

This is an example of Composite Balance on Depo Accounts.

 Closed Joint Stock Company " Central Depository"						
Composite balance on "Depo" accounts				22-ноя-99		
For the period fr 22/11/99 till : 22/11/99				Лист № 1 из 61		
Account # 010000017 "Passer & Co." ЗАО						
For the period 22/11/99 till : 22/11/99						
Code B3PH	ISIN KG0101093217	Взрывпорт				
Incoming securities amount:		2000				
Transaction #	Income	Expenses	Date	Operator	Reference number	
Total:	0	0				
Outgoing securities amount:		2000				

Code RTEI	ISIN KG0101093316	Кыргызтелеком				
Incoming securities amount:		3				
Transaction #	Income	Expenses	Date	Operator	Reference number	
Total:	0	0				
Outgoing securities amount:		3				

Code APIL	ISIN KG0101095519	ARPA-BG-BB Co				
Incoming securities amount:		70				
Transaction #	Income	Expenses	Date	Operator	Reference number	
Total:	0	0				
Outgoing securities amount:		70				

Code MYHA	ISIN KG0101114021	Мухайркулун				
Incoming securities amount:		4500				
Transaction #	Income	Expenses	Date	Operator	Reference number	
Total:	0	0				
Outgoing securities amount:		4500				

Code KRAM	ISIN KG0102002118	Кыргызский камвольно-суконный комбинат				
Incoming securities amount:		153				
Transaction #	Income	Expenses	Date	Operator	Reference number	
Total:	0	0				
Outgoing securities amount:		153				

This Report presents the information on the shares activity for all Depository accounts grouped by accounts.

The details for each account are:

Security details:

Code-security trade symbol

ISIN

SECURITY ISSUER NAME

Incoming security amount- shares amount on the *Period From* date

Outgoing security amount- shares amount on the *Period To* date

Activity details:

Transaction # - transaction number

Income – amount of shares deposited on the account

Expenses - amount of shares withdrawal from the account

Date of transaction

Operator –mnemocode of the Depository employee entered the transaction

Reference number

Depository Transfer Order

Depository Transfer Order is a legal document for transfer shares from the Depository nominal ownership to the Registrar beneficial ownership in the name of the person who bought the shares.

The form for selecting the reporting period and viewing all Depository Transfer Orders:

Date	Number	Quantity	Name	Buyer personal data	Passport №
25/01/00	31189	106	"Бакай" акции простые	KOSTNER KEVIN	пасп. А 1234 25/01/98

from 25/01/00
til 25/01/00

Date

Refresh

All

By number

☒ View

Record: 1 of 1

This is an example of Depository Transfer Order for selected person.

Closed Joint Stock Company " Central Depository "

Enclosure № VF-1

Transfer order №

22564

22-ноя-99

Лист № 1 из 1

Operation data 15/11/99

Nominal holder: *Closed Joint Stock Company " Central Depository "*

State registration certificate: Series GP №004068

Регистрационный номер: 3407-3301-А0

Код ОКПО: 21883156

172 Moskovska str., Bishkek, Kyrgyz Republic

Personal account: _____

one day no limit

Reregistration Request For: **owner**

Чынышев Абдыралы Алоитович

Person name or legal person name

паспорт А 0032597 от 17.05.97г. МБД 50-55

Passport data or State registration data

адрес: г. Бишкек, 7 мкр-н, 29-б

Address

Following securities:

Issuer: *Кыргызтелеком*

Security Name *Кыргызтелеком*

Nominal: 5.8800m

Amount 100 *СТО ШТ.*

Trade sum: 552.00

Unencumbered Shares

Base for transfer of securities:

Payment order№ 0

Agreement 8354

Securities deliver signature:

Shamkanov K.K President of the Central Depository

Name and position

Signature

Seal:

This order presents the new shareholder's full passport data, the amount of shares and the Trade Agreement.

Depository Accounts Extract

This Report is created to show the activity for the selected account during the selected period.

The form for account and period selection:

The screenshot shows a window titled "Depository Accounts Extract". Inside, there is a title bar with the same text. Below the title bar, there is a label "Account No" followed by a dropdown menu. Below that, there are two date fields: "From" with the value "27/12/99" and "To" with the value "27/12/99 9:27:24". Below the date fields, there is a checkbox labeled "View" which is checked. At the bottom, there are three buttons: "Calendar", "Start", and a button with a right arrow and a plus sign.

It is necessary to select an account from the list of depository accounts.

It is possible to enter the *From* and *To* dates manually or select them from the *Calendar*. The *Calendar* form will be displayed by pressing the *Calendar* button.

The screenshot shows a window titled "Calendar". Inside, there is a title bar with the same text. Below the title bar, there is a label "December 1999" followed by two dropdown menus: "December" and "1999". Below the dropdown menus, there is a calendar grid with columns for days of the week (Mon, Tue, Wed, Thu, Fri, Sat, Sun) and rows for dates. The date 27 is highlighted. To the right of the calendar grid, there are two buttons: "Date1" and "Date2". Below these buttons, there is a button with a right arrow and a plus sign.

Date1 – *From* date

Date2 – *To* date

This is an example of Depository Accounts Extract.

Closed Joint Stock Company "Central Depository"		Enclosure № VF-2	
Depository Accounts Extract		22-ноя-99 Лист № 1 из 2	
Extract from the account 010000017 "Passer & Co." ЗАО			
For the period f 22/11/99 til: 22/11/99			
Code B3PBI	Взрыворот		
Nominal:	0.00com	Account #	010000017
Incoming securities amount:	2000	fro 22/11/99	til: 22/11/99
Transaction #	Income	Expenses	Date
Total:	0	0	
Outgoing securities amount:	2000	0.00com	
Extract from the account 010000017 "Passer & Co." ЗАО			
For the period f 22/11/99 til: 22/11/99			
Code RTEU	Крыжытенеком		
Nominal:	5.88com	Account #	010000017
Incoming securities amount:	3	fro 22/11/99	til: 22/11/99
Transaction #	Income	Expenses	Date
Total:	0	0	
Outgoing securities amount:	3	17.65com	
Extract from the account 010000017 "Passer & Co." ЗАО			
For the period f 22/11/99 til: 22/11/99			
Code APHA	ARPA-BGH-BB Co		
Nominal:	5.00com	Account #	010000017
Incoming securities amount:	70	fro 22/11/99	til: 22/11/99
Transaction #	Income	Expenses	Date
Total:	0	0	
Outgoing securities amount:	70	350.00com	

This Report presents the information on the shares activity for selected Depository account.

The details are:

Security details:

Code-security trade symbol

ISIN

Security Issuer name

Incoming security amount- shares amount on the *Period From* date

Outgoing security amount- shares amount on the *Period To* date

Activity details:

Transaction # - transaction number

Income – amount of shares deposited on the account

Expenses - amount of shares withdrawal from the account

Date of transaction

Operator –mnemocode of the Depository employee entered the transaction

Reference number

Depository Balance Sheet

This is an example of Depository Balance Sheet

Depository balance sheet

Closed Joint Stock Company " Central Depository"

22-ноя-99

Лист № 1 из 14

Security code KG0101002515

Банк «Тройнагропромбанк»

Balance account

Assets balance

Liabilities balance

		D	T	Or	T	P	D	T	Or	T	P
020000024	Счет на хранение						1700	0	0	0	0
890000000	Касса депозитария	1700	0	0	0	0					
Total :		1700	0	0	0	0	1700	0	0	0	0
						1700					
						1700					

Security code KG0101003414

КРАМДИС-БАНК ЛТД.

Balance account

Assets balance

Liabilities balance

		D	T	Or	T	P	D	T	Or	T	P
010000033	АООТ ИФ "Чуйинвест"						0	84	0	0	0
110000014	АООТ "Берего-Инвест"						0	155	0	0	0
890000000	Касса депозитария	0	239	0	0	0					
Total :		0	239	0	0	0	0	239	0	0	0
						239					
						239					

Security code KG0101007076

Нацбанк «Промэнергострой»

Balance account

Assets balance

Liabilities balance

		D	T	Or	T	P	D	T	Or	T	P
040000048	БАО "Passer & Co."						0	10000	0	0	0
890000000	Касса депозитария	0	10000	0	0	0					
Total :		0	10000	0	0	0	0	10000	0	0	0
						10000					
						10000					

Security code KG0101007829

Банк «Касп»

Balance account

Assets balance

Liabilities balance

		D	T	Or	T	P	D	T	Or	T	P
110000014	АООТ "Берего-Инвест"						0	6900	0	0	0
890000000	Касса депозитария	0	6900	0	0	0					
Total :		0	6900	0	0	0	0	6900	0	0	0
						6900					
						6900					

Security code KG0101009569

Телсимбанк

This report presents the information on all securities which are in depository nominal ownership. It shows, by security the account position and the exact location of the shares within the depository/trading system.

The details for each security are:

- ISIN
- Security Issuer name
- Assets balance
- Liabilities balance
- D- shares in the Depository system

TS - shares in the Trading system

Or - shares in Orders

T – shares in not Settled Trades


P – shares in pending

Securities List

This Report presents the list of shares in nominal ownership of the Depository with the shares amounts and money sums.

There are two Securities List reports available in the System. The one highlighted in blue can be created for a selected date, the other one can be created only on current depository date. These reports are created by using different data, so Depository staff can check the daily working results by comparing these two Reports.

This is an example of Securities List Report

 Closed Joint Stock Company "Central Depository"					
Securities list					
№	Trading symbol	Security Name	ISIN	Amount of Shares	Sum
1	ABYK	"Автокомбинат" акция	KG0101068631	0	0.00
2	KABT	"Караууавтотранс" акция	KG0101029732	0	0.00
3	ADBI	Adviser	KG0101100913	0	0.00
4	ARPA	ARPA-BGI-BBCo	KG0101095519	156578	782890.00
5	OREM	OREMI	KG0101075511	0	0.00
6	AAJA	Аалым	KG0101059911	1000	15000.00
7	AAJL	Аалым прее.	KG0301059919	0	0.00
8	ABIC	Авиценна	KG0101066734	0	0.00
9	ABES	Автобизнес	KG0101038717	0	0.00
10	APZ	Автомониторинг завод	KG0101080420	3250	325000.00
11	AB31	Автомониторинг завод прее.	KG0301080428	44	4400.00
12	ABTO	Автокомбинат	KG0101072419	0	0.00
13	AGRO	Агромаши	KG0101082913	0	0.00
14	ADIS	Адис	KG0101013728	2200	281600.00
15	AZAT	Азат	KG0101089819	0	0.00
16	AYG1	Айгуль	KG0101018917	0	0.00
17	AYGU	Айгуль	KG0101138343	0	0.00
18	AYIN	Айгур	KG0101009114	0	0.00
19	AYCH	Айгурек	KG0101134110	108	27.00
20	AYCH	Айгурек ЦУМ прее.	KG0301134118	0	0.00
21	AYCH	Айгурек	KG0101000010	0	0.00

Shares Transactions Report for Period

This report is created for the selected period and presents information about shares transactions.

This is an example of Shares Transactions Report

Closed Joint Stock Company " Central Depository"

Shares Transactions Report For Period

For the period fr 01/03/00 till : 04/03/00

KG0101012316

MOON

Nominal:

5.00c

MOON

	Account from	Account to	Amount	Closing Date and time
CT	010000025 ->	070000011	100	03/03/00
W	070000011 ->		100	03/03/00
D	->	010000025	380	03/03/00

KG0101234522

KUMT

Nominal:

40.00c

Kumtor Operation Company

	Account from	Account to	Amount	Closing Date and time
CT	060000012 ->	070000011	150	03/03/00
W	070000011 ->		150	03/03/00
D	->	060000012	500	03/03/00

The details are:

Security:

ISIN

Trading symbol

Security Issuer name

Security type

Nominal – nominal share price

Transaction:

Transaction type

W – withdrawal

CT – trade

T – transfer

D -deposit

Account from

Account to


Shares amount

Closing date and Time – transaction date

Accounts Activity Report

This report is created for the selected period and presents the information about Depository and trading activity on the accounts.

This is an example of Accounts Activity Report

 Closed Joint Stock Company " Central Depository"						
Accounts Activity Report						
<i>For the period fr 28/02/00 till : 04/03/00</i>						
Account 010000025						
ASM Service Авторизованный						
Confirmed	MOON	MOO KG01010123	100	5.00e	03/03/00	
Deposit	MOON	MOO KG01010123	380	5.00e	03/03/00	
Account 060000012						
Прага Однодневная продажа						
Confirmed	Kuntor Operation Company	KUM KG01012345	150	40.00e	03/03/00	
Deposit	Kuntor Operation Company	KUM KG01012345	500	40.00e	03/03/00	
Account 070000011						
ASM Service Однодневная покупка						
Withdrawal	Kuntor Operation Company	KUM KG01012345	150	40.00e	03/03/00	
Withdrawal	MOON	MOO KG01010123	100	5.00e	03/03/00	
Confirmed	Kuntor Operation Company	KUM KG01012345	150	40.00e	03/03/00	
Confirmed	MOON	MOO KG01010123	100	5.00e	03/03/00	

The details are:

Account:

Account number

Participant's name

Account type

Transaction:

Transaction type

Withdrawal

Deposit

Transfer

Confirmed - Trade

Security Issuer name

Security trading symbol

ISIN

Shares amount

Money sum

Transaction date

Summary Settlement Report

There are two Summary Settlement Reports available in the System – for current date (T+3) and for the next day (T+2). These Reports present the information about brokerage firms Bank payments.

This is an example of the Summary Settlement Report

Closed Joint Stock Company "Central Depository"		Enclomure № VF-2	
Summary settlement report (T+3)		22-09-99	
at 10/11/99		Лист № 1 из 1	
<i>Payments of broker firms</i>			
Name of the firm	Buy trades	Sell trades	Balance
ЗАО "Passer & Co."	19,865.00	19,865.00	0.00 cont
ОКБ "Авант"	426.00	426.00	0.00 cont
ООО "BNC Сельскохозяйств"	15,320.00	15,320.00	0.00 cont
ООО ФПК "ASKO & Co."	38,518.50	38,518.50	0.00 cont
	74,129.50 cont	74,129.50 cont	0.00 cont

The details are:

Name of Brokerage firm

BUY TRADES – SUM FOR ALL DAILY BUYING TRADES


Sell Trades – sum for all daily selling trades

Balance

Fund/Securities Due To Report

This Report presents the summary information about payments to be transferred from brokerage firms bank accounts to the depository bank account.

This is an example of Fund/Securities Due To Report.

	Closed Joint Stock Company " Central Depository"	<i>Enclosure № VF-2</i>	
Funds/Securities Due To Report			
at 03/03/00		03-Map-00 Лист № 1 из 1	
<i>Cash transfers from firms' accounts to depository account</i>			
Transaction number	Name of the firm	Payer's account	Amount
1	ASM Service		450 com
Total for the report			450 com

The details are:

Bank transaction number

Name of the brokerage firm


Payer's account – number of Bank brokerage firm's account

Amount – payment sum

Fund/Securities Due From Report

This report presents the summary information about payments to be transferred from the Depository bank account to the brokerage firms bank accounts.

This is an example of Fund/Securities Due From Report.

	Closed Joint Stock Company " Central Depository"		<i>Enclosure № VF-2</i>
	Funds/Securities Due From Report		
	<i>at 03/03/00</i>		<i>03-mar-00 Лист № 1 из 1</i>
<i>Cash transfers from depository account to firms' accounts</i>			
Transaction number	Name of the firm	Recipient's account	Amount
2	Pragma		450 com
Total for the report			450 com

The details are:

Bank transaction number

Name of the brokerage firm

Payer's account – number of Bank brokerage firm's account

Amount – payment sum

Settlement Report

There are two Settlement Reports available in the System – for current date (T+3) and for the next day (T+2). These Reports present the information about selected brokerage firm's payments and trading activity.

This form for selecting the Brokerage firm is displayed after pressing the *Settlement Report* button.

This is an example of Settlement Report

ЗАО Центральный Депозитарий

Firm: **Pragma** Лист № 1 из 1

Settlement date: **25/01/00** *Settlement report*

Amount, сом	Buy trades	Sell trades	Firm's income	Firm's expenses
	450.00 сом	2 120.00 сом	1 670.00 сом	0.00 сом

ЗАО Центральный Депозитарий

Trades

Trade number	Buyer's account	Seller's account	Symbol	Amount of securities	Price сом	Volume of the trade сом	Status	Three-party
1	010001002	01000189	KAHT	100	4.50	450.00	Active	no
2	070000011	010001002	EAK1	106	20.00	2 120.00	Active	no

Total three-party trades: No Confirmed: No Non-confirmed: No	All trades: 2 570 сом <i>2 trades</i> Active trades: 2 570 сом <i>2 trades</i> Cancelled trades: 0 сом <i>0 trades</i>
---	---

The *Settlement Report* details are:

FIRM -BROKERAGE FIRM NAME

Settlement date

Buy trades amount

Sell trades amount

Firm's income

Firm's expenses

The *Trades* details are:

Trade number

Buyer's account number

Seller's account number

Security trading symbol

Shares amount

Share price

Trade volume

Trade status

Active

Canceled

Third party trade status

YES – THIS TRADE IS A THIRD PARTY TRADE

No – this is not a third party trade

The End of the
USAID Depository System
User's Manual